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825-03 2161

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT (Under 37 CFR 1.97(b) and 1.97(c))			Docket No. 49357.58985	
In Re Application Of: Kochansky				
<div style="text-align: center;">AUG 15 2003 PATENT & TRADEMARK OFFICE</div>				
Serial No. 10/086,769	Filing Date March 1, 2002	Examiner Unknown	Group Art Unit 2161	
Title: Investment Portfolio Compliance System				
<div style="text-align: center;">Address to: Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450</div>				
<div style="text-align: right;">RECEIVED AUG 20 2003 GROUP 3600</div>				
<p>1. <input checked="" type="checkbox"/> The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.</p> <p style="text-align: center;">37 CFR 1.97(b)</p> <p>2. <input type="checkbox"/> The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:</p> <p style="padding-left: 40px;"><input type="checkbox"/> the statement specified in 37 CFR 1.97(e);</p> <p style="text-align: center;">OR</p> <p style="padding-left: 40px;"><input type="checkbox"/> the fee set forth in 37 CFR 1.17(p).</p>				

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Investment Portfolio Compliance System				

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Payment of Fee
 (Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

☐ A check in the amount of _____ is attached.
☒ The Director is hereby authorized to charge and credit Deposit Account No. 04-1105
 as described below.

☐ Charge the amount of _____
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I certify that this document and fee is being deposited on 8/13/03 with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Victoria Parker
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* This certificate may only be used if paying by deposit account.

Richard H. Newman
 Reg. No. 41,222
 Edwards & Angell, LLP
 P.O. Box 9169
 Boston, MA 02209

Dated: August 13, 2003

CC:

<div style="text-align: center;">  INFORMATION DISCLOSURE CITATION <i>(Use several sheets if necessary)</i> </div>	ATTY DOCKET NO. 49357.58985	SERIAL NO. 10/086,769
	FILING March 1, 2002	GROUP 2161

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	6,484,152	11/19/2002	Robinson	705	36	
	6,405,179	06/11/2002	Rebane	705	36	
	6,393,409	05/51/2002	Young et al.	705	37	
	6,360,210	03/19/2002	Wallman	705	36	
	6,292,787	09/18/2001	S cott et al.	705	36	
	6,275,814	08/14/2001	Giansante et al.	705	36	
	6,249,775	06/19/2001	Freeman et al.	705	36	
	6,085,175	07/04/2000	Gugel et al.	705	36	
	6,078,904	06/20/2000	Rebane	705	36	
	6,061,662	05/09/2000	Makivic	705	36	
	6,055,517	04/25/2000	Friend et al.	705	36	

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FOREIGN PATENT DOCUMENTS

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							YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	5,999,918	12/07/1999	Williams et al.	705	36	<div style="font-size: 2em; font-weight: bold;">RECEIVED</div> <div style="font-size: 1.2em;">AUG 20 2003</div> <div style="font-size: 2.5em; font-weight: bold;">GROUP 3600</div>
	5,978,778	11/02/1999	O'Shaughnessy	705	36	
	5,940,809	08/17/1999	Musmanno et al.	705	35	
	5,911,136	06/08/1999	Atkins	705	36	
	5,911,135	06/08/1999	Atkins	705	36	
	5,826,243	10/20/1998	Musmanno et al.	705	35	
	5,819,238	10/06/1998	Fernholz	705	36	
	5,819,237	10/06/1998	Garman	705	36	
	5,812,987	09/22/1998	Luskin et al.	705	36	
	5,784,696	07/21/1998	Melnikoff	705	36	
	5,774,881	06/30/1998	Friend et al.	705	36	

FOREIGN PATENT DOCUMENTS

DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
					YES	NO

OTHER DOCUMENTS *(Including Author, Title, Date, Pertinent Pages, Etc.)*

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U.S. PATENT DOCUMENTS							
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
	5,732,397	03/24/1998	DeTore et al.	705	1		
	5,563,783	10/08/1996	Stolfo et al.	364	408		
	5,210,687	05/11/1993	Wolfberg et al.	364	408		

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